

12-17-01
JC10 Rec'd PCT/PTO 13 DEC 2001TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/018257

INTERNATIONAL APPLICATION NO.

PCT/EP00/05592

INTERNATIONAL FILING DATE

June 14, 2000

PRIORITY DATE CLAIMED

June 14, 1999

TITLE OF INVENTION

CLONING AND EXPRESSION OF A NOVEL 5-HT4 RECEPTOR

APPLICANT(S) FOR DO/EO/US :

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
- a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
- b. ☐ has been transmitted by the International Bureau.
- c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
- a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
- b. ☐ have been transmitted by the International Bureau.
- c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
- d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☒ A substitute specification. Modified with U.S. headings
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: Express Mail Certificate, Copy of the International Preliminary Examination Report, copy of the International Search, Sequence Disk, Sequence Listing, post card

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JC05 Rec'd PCT/PTO 5171

3 DEC 2001

17. ☒ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO.....\$1040.00

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO.....\$890.00

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but international search fee (37 CFR 1.455(a)(2)) paid to USPTO..... \$740.00

International preliminary examination fee (37 CFR 1.482) paid to
USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... \$750.00

International preliminary examination fee (37 CFR 1.482) paid to
USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)..... \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$ 1040.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	34 - 20 =	14	x \$18.00	\$ 252.00
Independent claims	4 - 3 =	1	x \$84.00	\$ 84.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$280.00	\$

TOTAL OF ABOVE CALCULATIONS =

\$ 336.00

Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement
must also be filed (Note 37 CFR 1.9, 1.27, 1.28).

+

SUBTOTAL =

\$

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE =

\$

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

\$ 40.00

TOTAL FEES ENCLOSED =

\$1416.00

Amount to be
refunded:

\$

charged:

\$1416.00

a. ☐ A check in the amount of \$_____ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 10-0750/JAB-1517/MHM in the amount of \$1416.00 to cover the above fees.
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 10-0750/JAB-1517/MHM. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a)
or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Philip S. Johnson, Esq.
Johnson & Johnson
One Johnson & Johnson Plaza
New Brunswick, NJ 08933-7003
USA

Signature

Myra H. McCormack
Myra H. McCormack
Reg. No. 36,602
Attorney for Applicants

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Bender et al

For : CLONING AND EXPRESSION OF A NOVEL 5-HT4 RECEPTOR

Express Mail Certificate

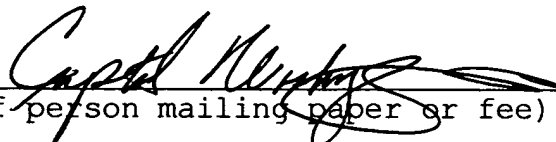
"Express Mail" mailing number: EF195553115US

Date of Deposit: December 13, 2001

I hereby certify that this complete application, including specification pages, claims, informal drawings, Declaration and Power of Attorney, Assignment, sequence listings and references, is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Crystal Washington

(Typed or printed name of person mailing paper or fee)



(Signature of person mailing paper or fee)